

12/22/00

12/22/00 U.S. PTO

Please type a plus sign (+) inside this box ☒

12-27-00

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |                                    |
|------------------------|------------------------------------|
| Attorney Docket No.    | 584-1038                           |
| First Inventor         | Clive Hayball                      |
| Title                  | Network Proxy Apparatus and Method |
| Express Mail Label No. | EL 700 384 401 US                  |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

- |  |   |
|--|---|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original, and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status.<br/>See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <b>19</b>]<br/>(preferred arrangement set forth below)</p> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>6</b>]</p> <p>5. Oath or Declaration [Total Pages <b>1</b>]</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/>(for continuation/divisional with Box 18 completed)</p> <p>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> |
|--|---|

**ACCOMPANYING APPLICATION PARTS**

- |   |  |
|---|--|
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))   | <input type="checkbox"/> Power of Attorney       |
| 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee)   | <input type="checkbox"/> Copies of IDS Citations |
| 11. <input type="checkbox"/> English Translation Document (if applicable)   |  |
| 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449  |  |
| 13. <input type="checkbox"/> Preliminary Amendment  |  |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)   |  |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)   |  |
| 16. <input checked="" type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. |  |
| 17. <input type="checkbox"/> Other:   |  |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

|         |   |           |               |          |                |
|---------|---|-----------|---------------|----------|----------------|
| Name    | William M. Lee, Jr.   |           |               |          |                |
| Address | LEE, MANN, SMITH, MCWILLIAMS, SWEENEY & OHLSON<br>P.O. Box 2786 |           |               |          |                |
| City    | Chicago   | State     | Illinois      | Zip Code | 60690-2786     |
| Country | U.S.A.  | Telephone | (312)368-1300 | Fax      | (312) 368-0034 |

|                   |                       |                                   |                   |
|-------------------|-----------------------|-----------------------------------|-------------------|
| Name (Print/Type) | William M. Lee, Jr.   | Registration No. (Attorney/Agent) | 26,935            |
| Signature         | <i>William M. Lee</i> | Date                              | December 22, 2000 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number  
Filing Date  
First Named Inventor Clive Hayball  
Examiner Name  
Group Art Unit  
Attorney Docket No. 584-1038

TOTAL AMOUNT OF PAYMENT

\$1,190.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 12-0913  
Deposit Account Name Lee, Mann, Smith, McWilliams,...

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR § 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|------------------------|----------|
| 101          | 710          | 201      | 355      |          |          | Utility filing fee     | 710.00   |
| 106          | 320          | 206      | 160      |          |          | Design filing fee      |          |
| 107          | 490          | 207      | 245      |          |          | Plant filing fee       |          |
| 108          | 710          | 208      | 355      |          |          | Reissue filing fee     |          |
| 114          | 150          | 214      | 75       |          |          | Provisional filing fee |          |
| SUBTOTAL (1) |              |          |          |          |          |                        | \$710.00 |

### 2. EXTRA CLAIM FEES

| Extra Claims                                    | Fee from below | Fee Paid |
|---|----------------|----------|
| Total Claims 13 - 20** = 0 X 18.00 = 0.00       |                |          |
| Independent Claims 9 - 3** = 6 X 80.00 = 480.00 |                |          |
| Multiple Dependent                              |                |          |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  |
|--------------|--------------|----------|----------|----------|----------|--|
| 103          | 18           | 203      | 9        |          |          | Claims in excess of 20                                     |
| 102          | 80           | 202      | 40       |          |          | Independent claims in excess of 3                          |
| 104          | 270          | 204      | 135      |          |          | Multiple dependent claim, if not paid                      |
| 109          | 80           | 209      | 40       |          |          | ** Reissue independent claims over original patent         |
| 110          | 18           | 210      | 9        |          |          | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$480.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity        | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|---------------------|--------------|----------|----------|----------|----------|--|----------|
| 105                 | 130          | 205      | 65       |          |          | Surcharge - late filing fee or oath  |          |
| 127                 | 50           | 227      | 25       |          |          | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                 | 130          | 139      | 130      |          |          | Non - English specification  |          |
| 147                 | 2,520        | 147      | 2,520    |          |          | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                 | 920*         | 112      | 920*     |          |          | Requesting publication of SIR prior to Examiner action                     |          |
| 113                 | 1,840*       | 113      | 1,840*   |          |          | Requesting publication of SIR after Examiner action                        |          |
| 115                 | 110          | 215      | 55       |          |          | Extension for reply within first month                                     |          |
| 116                 | 390          | 216      | 195      |          |          | Extension for reply within second month                                    |          |
| 117                 | 890          | 217      | 445      |          |          | Extension for reply within third month                                     |          |
| 118                 | 1,390        | 218      | 695      |          |          | Extension for reply within fourth month                                    |          |
| 128                 | 1,890        | 228      | 945      |          |          | Extension for reply within fifth month                                     |          |
| 119                 | 310          | 219      | 155      |          |          | Notice of Appeal   |          |
| 120                 | 310          | 220      | 155      |          |          | Filing a brief in support of an appeal                                     |          |
| 121                 | 270          | 221      | 135      |          |          | Request for oral hearing   |          |
| 138                 | 1,510        | 138      | 1,510    |          |          | Petition to institute a public use proceeding                              |          |
| 140                 | 110          | 240      | 55       |          |          | Petition to revive - unavoidable   |          |
| 141                 | 1,240        | 241      | 620      |          |          | Petition to revive - unintentional   |          |
| 142                 | 1,240        | 242      | 620      |          |          | Utility issue fee (or reissue)   |          |
| 143                 | 440          | 243      | 220      |          |          | Design issue fee   |          |
| 144                 | 600          | 244      | 300      |          |          | Plant issue fee  |          |
| 122                 | 130          | 122      | 130      |          |          | Petitions to the Commissioner  |          |
| 123                 | 50           | 123      | 50       |          |          | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126                 | 180          | 126      | 180      |          |          | Submission of Information Disclosure Statement                             |          |
| 581                 | 40           | 581      | 40       |          |          | Recording each patent assignment per property (times number of properties) |          |
| 146                 | 710          | 246      | 355      |          |          | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                 | 710          | 249      | 355      |          |          | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                 | 710          | 279      | 355      |          |          | Request for Continued Examination (RCE)                                    |          |
| 169                 | 900          | 169      | 900      |          |          | Request for expedited examination of a design application                  |          |
| Other fee (specify) |              |          |          |          |          |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

## SUBMITTED BY

|                   |                            |                                   |                   |           |                |
|-------------------|----------------------------|-----------------------------------|-------------------|-----------|----------------|
| Name (Print/Type) | William M. Lee, Jr.        | Registration No. (Attorney/Agent) | 26, 935           | Telephone | (312) 368-1300 |
| Signature         | <i>William M. Lee, Jr.</i> | Date                              | December 22, 2000 |           |                |

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Please acknowledge  
receipt of the  
enclosed:

Clive Hayball

Serial No. Not yet assigned

Filed:

Title: Network Proxy Apparatus and Method

1. Utility Patent Application Transmittal
2. Fee Transmittal (in duplicate)
3. 19 pages of specifications
4. 6 sheets of drawings
5. Check No. \_\_\_\_\_ for \$ 1,190.00
6. Certificate of Express Mail
7. Return Postcard
8. Request and Certification

DUE DATE (If Any): N/A

DATE SENT: December 22, 2000



"Express Mail" mailing label number

EL 700 384 401 US

Date of deposit: December 22, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Richard Sensenbrenner

(Typed or printed name of person mailing paper or fee)

A handwritten signature of Richard Sensenbrenner in black ink.

(Signature of person mailing paper or fee)

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**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

Clive Hayball

Title

Network Proxy Apparatus and Method

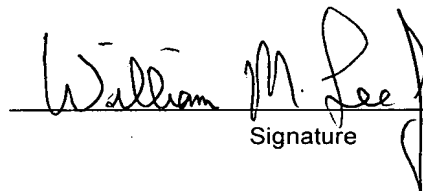
Atty Docket Number

584-1038

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/22/00

Date

  
Signature

William M. Lee, Jr.

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

**Burden Hour Statement:** This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.